

PATENT
App. Ser. No.: 10/824,055
Atty. Dkt. No. ROC820030403US1
PS Ref. No.: 1032.012819 (IBMK30403)

IN THE CLAIMS:

Please amend the claims as follows:

1. (Currently Amended) A computer-implemented method for dynamically scaling order processing in a securities exchange, comprising:
maintaining, in a memory device, one or more books for a security at the securities exchange, wherein the one or more books each list orders related to the security;
monitoring, by operation of an application program executing on one or more processors, a volume of orders related to the security received at the securities exchange;
varying the number of books maintained for the security based on the monitored volume of orders;
distributing orders related to the security and received at the securities exchange among the books maintained for the security; and
balancing the monitored order volume among the books, as stored in the memory device.
2. (Previously Presented) The method of claim 1, wherein varying the number of books maintained for the security based on the monitored volume of orders comprises:
upon determining if the monitored volume of orders related to the security exceeds a maximum threshold value, opening a new book for the security.
3. (Original) The method of claim 2, wherein opening a new book for the security comprises creating a logical partition.
4. (Original) The method of claim 2, wherein opening a new book for the security comprises allocating one or more processors to the new book.

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5. (Previously Presented) The method of claim 2, wherein varying the number of books maintained for the security based on the monitored volume of orders further comprises:

upon determining if the monitored volume of orders related to the security falls below a minimum threshold value, closing one or more books maintained for the security.

6. (Previously Presented) The method of claim 5, wherein the maximum threshold value and the minimum threshold values are different.

7. (Original) The method of claim 1, wherein maintaining one or more books for the security at the exchange comprises maintaining at least one book for the security on at least two different servers.

8. (Original) The method of claim 1, wherein monitoring the volume of orders related to the security received at the exchange comprises dividing the total volume of orders related to the security received at the exchange by the number of books maintained for the security.

9. (Original) The method of claim 1, further comprising publishing the top of each book maintained for the security.

10. (Original) The method of claim 9, further comprising matching an order listed on one of the books maintained for the security with one of the other books maintained for the security.

11. (Original) The method of claim 9, further comprising matching an order listed on one of the books maintained for the security with a book maintained for the security at another exchange.

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12. (Previously Presented) A computer-readable medium containing a program for dynamically scaling order processing in a securities exchange which, when executed by a processor performs operations, comprising:

maintaining one or more books for a security at the securities exchange, wherein the one or more books each list orders related to the security;

monitoring a volume of orders related to the security received at the securities exchange;

varying the number of books maintained for the security based on the monitored volume of orders; and

distributing orders related to the security and received at the securities exchange among the books maintained for the security, wherein the program is configured to balance the monitored order volume among the books.

13. (Previously Presented) The computer-readable medium of claim 12, wherein varying the number of books maintained for the security based on the monitored volume of orders comprises:

upon determining if the monitored volume of orders related to the security exceeds a maximum threshold value, notifying an administrator and providing the administrator with an interface allowing the administrator to open a new book.

14. (Previously Presented) The computer-readable medium of claim 12, wherein varying the number of books maintained for the security based on the monitored volume of orders comprises:

upon determining if the monitored volume of orders related to the security exceeds a maximum threshold value, opening a new book for the security.

15. (Original) The computer-readable medium of claim 12, further comprising providing an interface allowing an administrator to specify the maximum threshold value.

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16. (Original) The computer-readable medium of claim 12, further comprising providing an interface allowing an administrator to specify how orders related to the security and received at the exchange should be distributed among the books maintained for the security.
17. (Previously Presented) A computer system capable of dynamically allocating resources for processing orders related to a security, comprising:
- a processor;
 - one or more books maintained for the security by a securities exchange, each book listing orders related to the security; and
 - a memory containing an executable component, which when executed on the processor, is configured to:
 - monitor a volume of orders related to the security received by the securities exchange,
 - vary the number of books maintained for the security based on the monitored volume of orders,
 - distribute orders related to the security and received by the securities exchange among the books maintained for the security, and
 - balance the monitored order volume among the books.
18. (Previously Presented) The computer system of claim 17, wherein the one or more books maintained for the security at the exchange comprises:
- at least a first book for the security maintained on a first server; and
 - at least a second book for the security maintained on a second server.
19. (Previously Presented) The computer system of claim 17, wherein the one or more books are maintained on a computer system having multiple logical partitions.
20. (Previously Presented) The computer system of claim 19, wherein each book is assigned to a different logical partition.